

Chang-De LU
Min ZHUANG and Yu-Lei XIA
Applicant or Patentee: _____ Attorney's
Serial or Patent No.: _____ Docket No: _____
Filed or Issued: _____
For: "3'-Monophosphorylated Oligonucleotides"

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

SHANGHAI INSTITUTE OF BIOCHEMISTRY, CHINESE ACADEMY
NAME OF ORGANIZATION OF SCIENCES
ADDRESS OF ORGANIZATION 320 Yue-Yang Road, Shanghai 200031, People's
Republic of China

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled "3'-Monophosphorylated Oligonucleotides" by inventor(s) Chang-De LU, Min ZHUANG and Yu-Lei XIA described in

- ☐ the specification filed herewith
☒ application serial no. 09/446804, filed _____
☐ patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Fang Yong-Sheng
TITLE IN ORGANIZATION Deputy Director
ADDRESS OF PERSON SIGNING 320 Yue-Yang Road, Shanghai 200031, People's Republic
of China
Signature: Fang Yong-Sheng DATE 15, Feb. 2000

Chang-de LU
Min ZHUANG
Yu-Lei XIA

Attorney's Dkt. No. _____

Applicant or Inventor: _____

Serial or Patent No.: _____

Filed or Issued: _____

For: "3'-Monophosphorylated Oligonucleotides"

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS [37 19(f) and 1.27(c)] - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled:

"3'-Monophosphorylated Oligonucleotides"

described in

- ☐ the specification filed herewith.
☒ application Serial No. 09/446804, filed _____
☐ patent No. _____, issued _____

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern, or organization
☒ persons, concerns or organizations listed below*

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name SHANGHAI INSTITUTE OF BIOCHEMISTRY, CHINESE ACADEMY OF SCIENCES
Address 320 Yue-Yang Road, Shanghai, 200031, People's Republic of China
☐ Individual ☐ Small Business Concern ☒ Nonprofit Organization

Name _____
Address _____
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name _____
Address _____
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application of patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28(b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Chang-De LU
NAME OF INVENTOR

卢长德

Signature

15, Feb. 2000

DATE

Min ZHUANG
NAME OF INVENTOR

庄敏

Signature

15, Feb. 2000

DATE

Yu-Lei XIA
NAME OF INVENTOR

夏宇雷

Signature

15, Feb. 2000

DATE

DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.
I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

"3'-Monophosphorylated Oligonucleotides"
the specification of which (check one)

☐ is attached hereto
☒ was filed on 26 June 1998 as PCT Application Serial No. PCT/CN98/00102 and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in Title 37, Code of Federal Regulations § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

PRIOR FOREIGN APPLICATION(S)

NUMBER	COUNTRY	DAY/MONTH/YEAR FILED	PRIORITY CLAIMED
97106495.4	People's Republic of China	28 June 1997	Yes

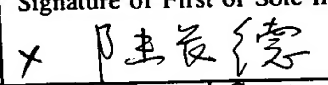
I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

APPLICATION SERIAL NO.	FILING DATE	STATUS: PATENTED, PENDING, ABANDONED

I hereby appoint as my attorneys, with full powers of substitution and revocation, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: Stephen A. Bent, Reg. No. 29,768; David A. Blumenthal, Reg. No. 26,257; John J. Feldhaus, Reg. No. 28,822; Donald D. Jeffery, Reg. No. 19,980; Eugene M. Lee, Reg. No. 37,039; Peter G. Mack, Reg. No. 26,001; Brian J. McNamara, Reg. No. 32,789; Sybil Meloy, Reg. No. 22,749; George E. Quillin, Reg. No. 32,792; Colin G. Sandercock, Reg. No. 31,298; Bernhard D. Saxe, Reg. No. 28,665; Richard L. Schwaab, Reg. No. 25,479; Arthur Schwartz, Reg. No. 22,115; Harold C. Wegner, Reg. No. 25,258.

Send all correspondence to **FOLEY & LARDNER**, 3000 K Street, N.W., Suite 500, P.O. Box 25696, Washington, D.C. 20007-8696.
Address telephone communications to Stephen A. Bent at (202) 672-5300.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of First or Sole Inventor Chang-De LU	Signature of First or Sole Inventor X 	Date 15 Feb 2000
Residence Address 320 Yue Yang Road, Shanghai 200031, People's Republic of China		Country of Citizenship China
Post Office Address Same as above		

Signatures should conform to names as typewritten. ☒ Additional inventors on attached Page 2.

DECLARATION FOR PATENT APPLICATION AND APPOINTMENT OF ATTORNEY

Page _____

Full Name of Joint Inventor Min ZHUANG	Citizenship Chinese
Residence Address 320 Yue Yang Road, Shanghai 200031, People's Republic of China	Post Office Address <input checked="" type="checkbox"/> Same as Residence
DATE + 15 Feb, 2000	SIGNATURE + 庄敏

Full Name of Joint Inventor Yu-lei XIA	Citizenship Chinese
Residence Address 320 Yue Yang Road, Shanghai 20031, People's Republic of China	Post Office Address <input checked="" type="checkbox"/> Same as Residence
DATE + 15 Feb, 2000	SIGNATURE + 夏宇蕾

Full Name of Joint Inventor	Citizenship
Residence Address	Post Office Address <input type="checkbox"/> Same as Residence
DATE	SIGNATURE

Full Name of Joint Inventor	Citizenship
Residence Address	Post Office Address <input type="checkbox"/> Same as Residence
DATE	SIGNATURE

Full Name of Joint Inventor	Citizenship
Residence Address	Post Office Address <input type="checkbox"/> Same as Residence
DATE	SIGNATURE

Full Name of Joint Inventor	Citizenship
Residence Address	Post Office Address <input type="checkbox"/> Same as Residence
DATE	SIGNATURE